

12/19/01
J1059 U.S. PTO

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12-27-01

PTO/SB/05 (08-00)

Approved for U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 C.F.R. § 1.53(b))

Attorney Docket No. PH-7263

First Inventor or Application Identifier John M. Fevig et al

Title Substituted Pyrroloquinolines and Pyridoquinolines as Serotonin Agonists and Antagonists

Express Mail Label No. EV000875525US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original and a duplicate for fee processing)
2. ☐ Applicant claims small entity status.
See 37 CFR 1.27.
3. ☒ Specification [Total Pages 323]
(preferred arrangement set forth below)
 - Descriptive title of the Invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R & D
 - Reference to sequence listing, a table, or a computer program listing appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claim(s)
 - Abstract of the Disclosure
4. ☐ Drawing(s) (35 U.S.C.113) [Total Sheets]
5. ☒ Oath or Declaration [Total Pages 2]
 - a. ☐ Newly executed (original or copy)
 - b. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for a continuation/divisional with Box 17 completed)
 - i. ☐ DELETION OF INVENTOR(S)
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).
6. ☒ Application Data Sheet. See 37 CFR 1.76

ADDRESS TO

Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

7. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
8. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
 - a. ☐ Computer Readable Form (CRF)
 - b. Specification Sequence Listing on:
 - i. ☐ CD-ROM or CD-R (2 copies); or
 - ii. ☐ paper
 - c. ☐ Statements verifying identity of above copies

ACCOMPANYING APPLICATIONS PARTS

9. ☐ Assignment Papers (cover sheet & document(s))
10. ☐ 37 C.F.R. §3.73(b) Statement ☒ Power of Attorney
(when there is an assignee)
11. ☐ English Translation Document (if applicable)
12. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
13. ☐ Preliminary Amendment
14. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP)

of prior application No: ____ /

Prior application information: Examiner ____

Group Art Unit:

For CONTINUATION or DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

17. CORRESPONDENCE ADDRESS

☒ Customer Number 24348

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PATENT TRADEMARK OFFICE

or ☐ Correspondence address below

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38,532

Signature

Date

December 19, 2001

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

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**FEE TRANSMITTAL
for FY 2001**Patent fees are subject to annual revision.
EXPRESS MAIL NO.: 000875525 US
MAILED: December 19, 2001**TOTAL AMOUNT OF PAYMENT (\$)** 884.00

Complete if Known	
Application Number	Unknown
Filing Date	December 19, 2001
First Named Inventor	John M. Fevig et al
Examiner Name	Unknown
Group / Art Unit	Unknown

Attorney Docket No. PH-7263

METHOD OF PAYMENT (check one)1. ☒ The Commissioner is hereby authorized to charge indicated fees and credit any over payments to:☒ Deposit Account Number

023850

☒ Deposit Account Name

Bristol-Myers Squibb Pharma Company

☒ Charge Any Additional Fee Required Under 37 CFR 1.16 and 1.17☐ Applicant claims small entity status. See 37 CFR 1.27☐ Payment Enclosed:☐ Check ☐ Credit card ☐ Money Order ☐ Other**FEE CALCULATION****BASIC FILING FEE**

Large Fee Code	Entity	Small Fee Code	Entity	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101		740	201	355			Utility filing fee	740.00
106		330	206	160			Design filing fee	
107		510	207	245			Plant filing fee	
108		740	208	355			Reissue filing fee	
114		160	214	75			Provisional filing fee	

SUBTOTAL (1)

(\$ 740.00)

EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
28 -20**	8	18	144
Independent Claims	-3**	0	0
Multiple Dependent			0

Large Fee Code	Entity	Small Fee Code	Entity	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103		18	203	9			Claims in excess of 20
102		84	202	40			Independent claims in excess of 3
104		280	204	135			Multiple dependent claim, if not paid
109		84	209	40			** Reissue independent claims over original patent
110		18	210	9			** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2)

(\$ 144.00)

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Fee Code	Entity	Small Fee Code	Entity	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65				Surcharge - late filing fee or oath	
127	50	227	25				Surcharge - late provisional filing fee or cover sheet	
139	130	139	130				Non-English specification	
147	2,520	147	2,520				For filing a request for ex parte reexamination	
112	920*	112	920*				Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*				Requesting publication of SIR after Examiner action	
115	110	215	55				Extension for reply within first month	
116	400	216	195				Extension for reply within second month	
117	920	217	445				Extension for reply within third month	
118	1,440	218	695				Extension for reply within fourth month	
128	1,960	228	945				Extension for reply within fifth month	
119	310	219	155				Notice of Appeal	
120	310	220	155				Filing a brief in support of an appeal	
121	270	221	135				Request for oral hearing	
138	1,510	138	1,510				Petition to institute a public use proceeding	
140	110	240	55				Petition to revive - unavoidable	
141	1,240	241	620				Petition to revive - unintentional	
142	1,240	242	620				Utility issue fee (or reissue)	
143	440	243	220				Design issue fee	
144	600	244	300				Plant issue fee	
122	130	122	130				Petitions to the Commissioner	
123	130	123	50				Petitions related to provisional applications	
126	240	126	240				Submission of Information Disclosure Stmt	
581	40	581	40				Recording each patent assignment per property (times number of properties)	
146	710	246	355				Filing a submission after final rejection (37 CFR § 1.129(a))	
149	710	249	355				For each additional invention to be examined (37 CFR § 1.129(b))	
179 (RCE)	710	279	355				Request for Continued Examination	
169	900	169	900				Request for expedited examination of a design application	

Other fee (specify)


*Reduced by Basic Filing Fee Paid

SUBTOTAL (3)

(\$)

SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	Scott K. Larsen	Registration No. Attorney/Agent	38,532	Telephone	302-695-1406
Signature				Date	December 19, 2001

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